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PTO/SB/05 (08-00)

PTO  
09/887145

06/22/01

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. UBC-002  
First Inventor Seung U. Kim  
Title IMMORTALIZED HUMAN MICROGLIA CELL  
Express Mail Label No.

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- ☐ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
- ☒ Specification [Total Pages 42]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
- Oath or Declaration [Total Pages 3]
  - ☒ Newly executed (original or copy)
  - ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 17 completed)
    - ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - ☐ CD-ROM or CD-R (2 copies); or
    - ☐ paper
  - ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- ☒ Other: Accounting Sheet

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)  
Prior application information: Examiner N/A

of prior application No. 09/855,468  
Group 1 Art Unit: N/A

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

or ☒ Correspondence address below

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Name (Print Type) David Prashker Registration No. (Attorney/Agent) 29,693  
Signature [Signature] Date 06/22/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

ACCOUNTING SHEET

The Commissioner For Patents And Trademarks  
Washington, D.C. 20231

UBC-002  
Case Docket No.

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s):     Seung U. Kim  
For:             "Immortalized Human Microglia Cell And Continuous  
                    Cell Line"

XXX Enclosed are:

- XX 42 pages of Specification.
- XX 3 pages of claims.
- XX 6 sheets of drawing.
- XX An original combined Declaration And Power Of Attorney.
- XX A written assertion of entitlement to Small Entity status  
pursuant to 37 C.F.R. 1.27.
- An Assignment of the invention to \_\_\_\_\_.
- Other \_\_\_\_\_.

XXX The filing fee has been calculated as shown below:

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_____	Recording each Assignment.....			\$	40		\$	40
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	(Col. 1)	(Col. 2)	SMALL ENTITY				LARGE ENTITY	
-----								
<b>FOR:</b>	No. Filed /	No. Extra /	Rate - Fee	(or)		Rate - Fee		
-----								
<b>BASIC FEE:</b>	*****	*****	****	\$	355	****	\$	****
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<b>TOTAL CLAIMS:</b>	17 - 20 =	0	x \$ 9 = \$ 00	(or)	x \$18 =	\$	****	
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<b>INDEP CLAIMS:</b>	2 - 3 =	0	x \$40 = \$ 00	(or)	x \$80 =	\$		
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<b>MULTIPLE DEPENDENT CLAIM PRESENTED</b>					+\$135 = \$ 00	(or)	+\$270 =	\$ ****
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				<b>TOTAL =</b>	\$ 355			

XXX A check in the amount of \$ 355.00 for the filing fee is enclosed.

"Express Mail mailing label number ET182838578 US

Date of  
Deposit JUNE 22, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office To Addressee" service under 37 C.F.R. 1.10 with the mailing label number and the date indicated above, and is addressed to the Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

David PRASHKER

(Typed or printed name of person mailing paper or fee)



(Signature of person mailing paper or fee)

09897445-05904  
T0230-547886

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Seung U. Kim  
Serial No. : yet to be provided  
Filed : herewith  
For : "IMMORTALIZED HUMAN MICROGLIA  
CELL AND CONTINUOUS CELL LINE"  
Attorney's Docket No : UBC-002

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WRITTEN ASSERTION OF SMALL ENTITY STATUS  
PURSUANT TO 37 C.F.R. 1.27

Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

Dear Sir:

Pursuant to the provisions of 37 C.F.R. 1.27 as amended  
and effective September 8, 2000 and in accordance with Section  
1.27(c) in particular, the above-identified applicant hereby formally  
presents and files his written assertion of entitlement to Small Entity  
status.

Respectfully submitted,

SEUNG U. KIM

Date: June 22, 2001  
P.O. Box 5387  
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By:   
David Prashker  
Reg. No. 29,693  
Attorney for applicant